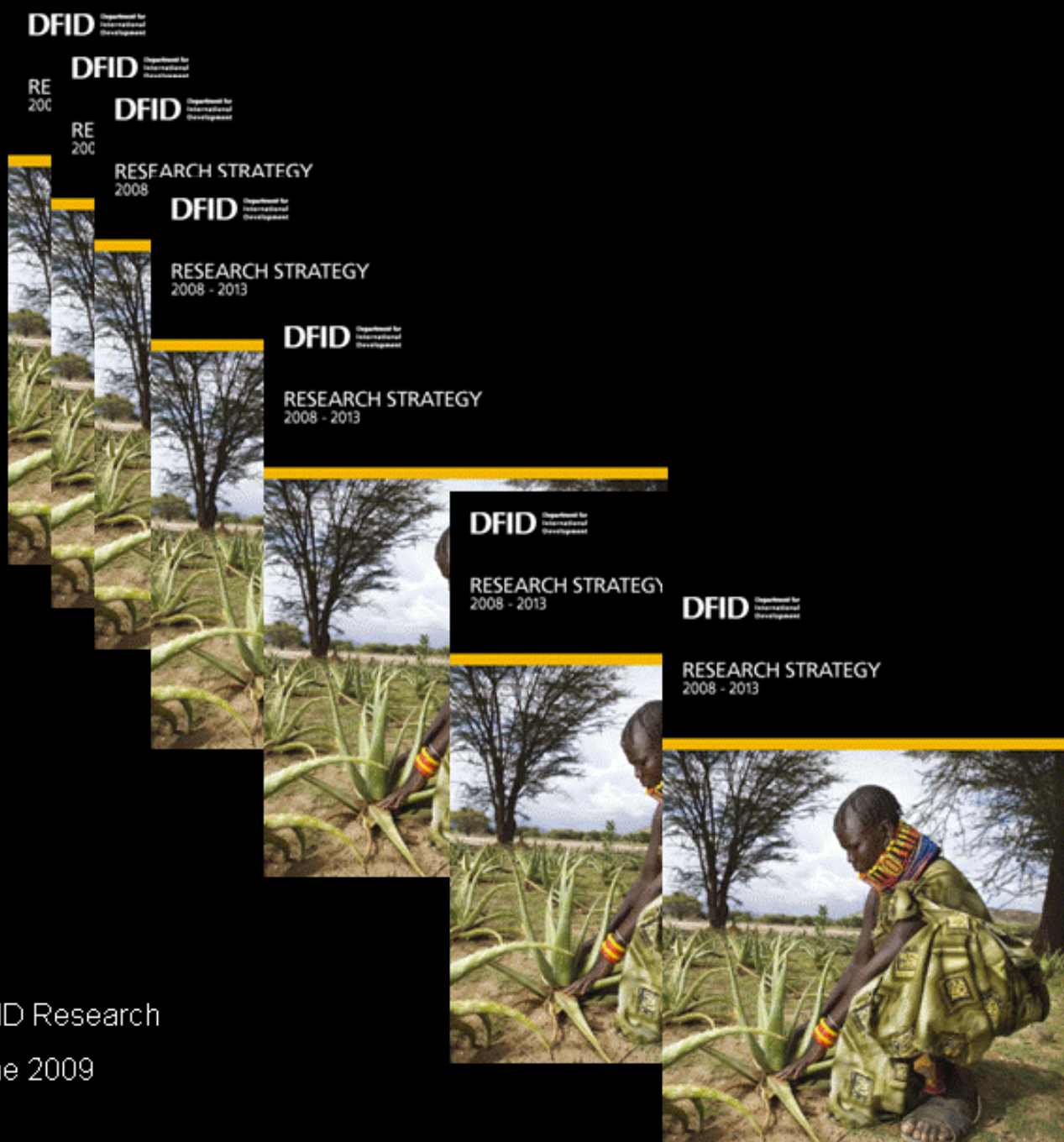


Research Programme Consortia

INFORMATION NOTE ON MONITORING AND EVALUATION



Research Programme Consortium: Information Note on Monitoring and Evaluation

This note should be read in conjunction with the Research Programme Consortia (RPC) Terms of Reference and other RPC guidance that can be found on the DFID Research for Development (R4D) portal: (<http://www.research4development.info/dfidguidancenotes.asp>). DFID is currently developing a Monitoring and Evaluation Framework for the DFID Research Strategy 2008-2013, which will provide additional information on M&E reporting requirements.

Research Excellence and Value for Money

DFID is accountable for how it uses public money. It needs to demonstrate that investment in research is a good development investment, used effectively to make a difference to the lives of the world's poorest people and represents good value for money. DFID also recognises the need to improve processes of reflecting and learning so that the RPCs it funds are more effective as well as help them illustrate their results. The DFID Research Strategy highlights the need to improve monitoring and evaluation of research results to illustrate value for money, deliver high quality usable research and to help us to make sure research results influence the decisions of international policy-makers. DFID requires all RPCs to develop a sound M&E strategy during the inception phase, with strategic oversight from the CEO and Research Director.

DFID supported RPCs must include a Monitoring and Evaluation Strategy, initiated during the inception phase. (DFID will provide more in-depth guidance on M&E at inception)

The DFID Research Strategy Results Areas

The DFID Research Strategy (2008-2013) (<http://www.dfid.gov.uk/Documents/publications/research-strategy-08.pdf>) sets out results matrix. It outlines the purpose of DFID Research as faster progress towards the Millennium Development Goals and poverty reduction as a result of knowledge and innovation and has four key results areas:

- (i) **New policy knowledge created for developing countries, the international community and DFID.**
- (ii) **Existing and new evidence better informs decision-making about international development.**
- (iii) **New technologies developed and used in developing countries.**
- (iv) **Capability to do and use research strengthened**

DFID expects all RPCs to contribute towards the achievement of the purpose and results areas, as appropriate to the specific research being conducted (e.g. not all RPCs will develop new technologies). RPCs are required to report against a set of DFID indicators which should be incorporated into the RPC Monitoring and Evaluation Strategy. This will be reported on through annual reports, and mid-term and project completion reviews (templates for these documents can be found at <http://www.dfid.gov.uk/Documents/publications/me-guide-contracted-research.pdf>). RPCs may be asked to participate in strategic evaluations commissioned by DFID in line with plans being developed under the new DFID Research Monitoring and Evaluation Framework and in-line with DFID's policy on evaluation (see DFID's new DFID evaluation policy document "Building evidence to reduce poverty") <http://www.dfid.gov.uk/Documents/publications/evaluation/evaluation-policy.pdf>)

All RPCs will submit an Inception Report towards the end of the inception phase which must be approved by DFID prior to the continuation of the RPC programme. In this report RPCs will be expected to outline the **Monitoring and Evaluation Strategy** for the programme, incorporating a **logical framework** and any other tools and methodologies to be used to measure progress. In DFID, logical frameworks must include a set of **baselines** for subsequent measurement. Experience shows that many logical frameworks are far too ambitious about what will be achieved and often make unrealistic causal leaps. RPCs should ensure that logical frameworks set realistic outputs.

DFID recognises that it is not easy to measure the impact that research results have on development and that it can be difficult to separate out those factors that actually result in change over time. However, DFID does expect to learn powerful lessons from its research and therefore expects the RPCs to develop innovative ways of measuring the impact of the research, to show the important contribution research can make towards achieving the MDGs, to the post 2015 development agenda and supporting development for future generations.

DFID also approaches monitoring and evaluation from the perspective that M&E provides opportunities for reflection and learned experiences, including the management and operation of the RPC itself as well as the research, capacity building and communications and policy engagement, that ultimately will have an impact upon development.

Areas for attention in the design of the M&E strategy for the RPC

For research to have an impact on poverty reduction the RPC will need to work with a range of partners of different backgrounds and competencies. For the research outcomes of the RPC partnership to have traction in national and international policy arenas, a key focus for the M&E strategy must be on understanding the development of partnerships. This involves building stakeholders' trust in the robustness, timeliness and quality of the research itself. Some key areas for attention in the design of the strategy may be:

- **Quality of the partnership within the RPC** and how this changes over time to reflect increased capacity, including in research management, in southern partners;
- **Quality of relationships between the RPC and identified stakeholders** at national and international levels, including DFID;

- **Quality of demand responsive research** where demand is articulated by government led poverty reduction processes and engagements with civil society stakeholders;
- **Clarity around impact pathways and timescales**, given the research-to-knowledge/evidence communication-to-policy-to-implementation trajectory in most situations.

Tools for consideration

Whilst all DFID funded RPCs must incorporate **logical framework analysis** in their M&E strategy, other tools could provide useful additions to the strategy. The following is not an exhaustive list but could provide dynamic information about the development of effective relationships within the RPC and with wider stakeholders.

- **Logical frameworks** – a management tool used to improve the design of interventions through identifying strategic elements (inputs, outputs, outcomes and impacts) and their causal relationships, indicators and the assumptions or risks that may influence success and failure.
- **Outcome mapping** – for the overall objectives of the RPC with a clear understanding of who the ‘boundary spanners’ are in this work.
- **Relationship mapping**, including the use of **relationship management software**, at the start of inception for the RPC itself and during inception with key stakeholders. This work would be regularly updated and would enable the tracking of the networks that partners develop nationally and internationally. This approach could be linked to a **user needs analysis** to facilitate good quality and targeted communication outputs for policy engagement and other arenas.
- Initial **causal linkage model** development which could be linked to ‘theories of change’ in the areas the research is focused on.
- **Pathways to impact** – clarity about the key actors in policy development within a country AND the likelihood/timescale for implementation of policy.
- A results-based **Performance and Learning Framework** for the RPC itself using agreed outcomes and a ‘traffic light’ system for management level monitoring of progress.
- **Peer review assessments** of the methods used in research and the outputs including case studies/papers.
- **Evolving storylines** is a participatory method of developing multiple alternative views of the future, or interpretations of the past, using a ‘theory-of-change’ approach rendered through stories.
- **Most significant changes technique** is a form of participatory monitoring and evaluation, involving multiple stakeholders in assessing change and analysing data. It is an ongoing monitoring process that occurs throughout the programme cycle, contributing data on impact and outcomes that can help assess performance. See:

[The 'Most Significant Change' \(MSC\) Technique: A Guide to Its Use](#)

For additional information on website resources and publications, see below.

Selected website resources on monitoring and evaluation

The following is a selection of website resources on monitoring and evaluation, including tools and training:

- **DFID** provides an overview of the DFID position on evaluation: <http://www.dfid.gov.uk/About-DFID/Finance-and-performance/Evaluation/>
- **Innovation Network (USA)**: Transforming Evaluation for Social Change <http://www.innonet.org/>. This is a non-profit organisation that shares planning and evaluation tools and know-how.
- The **International Development Evaluation Association (IDEAS)** works to improve development evaluation with attention to methods, capacity building and ownership issues in developing and transitional economies. It has tools and papers on the website. www.ideas-int.org
- The **International Development Research Centre's** Evaluation Unit (Canada) provides guidance on a series of tools (including outcome mapping, participatory M&E, organisational assessment). http://www.idrc.ca/en/ev-27818-201-1-DO_TOPIC.html
- The **International Initiative for Impact Evaluation, 3IE**, is a donor forum to support the production and use of evidence from rigorous impact evaluations for policy decisions that improve social and economic development in low and middle-income countries. <http://www.3ieimpact.org/>
- The **International NGO Training and Research Centre (INTRAC)** provides information on monitoring and evaluation **organisational capacity building**. INTRAC also provides a series of useful PRAXIS Notes. (UK) <http://www.intrac.org>
- The **International Organisation for Cooperation in Evaluation (IOCE)** is an umbrella for evaluation networks and societies committed to building a worldwide evaluation community. <http://www.internationalevaluation.com> It provides useful links to national, regional, and international organisations and networks that might prove useful to RPC partners as sources of information and support, especially at the country level. The IOCE provides regular updates on events and news.
- **Monitoring and Evaluation News (UK)** has a lot of guidance on monitoring and evaluation methods related to development, including specific tools: <http://mande.co.uk/> Mande also provide links to specialist monitoring and evaluation sites: <http://www.mande.co.uk/specialist.htm>

- The **OECD DAC Network on Development Evaluation** is designed to improve information exchange and knowledge sharing. www.oecd.org/dac/evaluationnetwork
- The **Outcome Mapping Learning Community** is an online community for sharing experiences and networking. <http://www.outcomemapping.ca/> It includes an online resource library.
- The **Performance Assessment Resource Centre (PARC)** is a resource centre for monitoring, evaluation and performance assessment. (UK) www.parcinfo.org
- The **UK Evaluation Society** includes an online resource library that includes links to other evaluation organisations and resources. Its membership includes evaluation professionals and practitioners in the fields of the social sciences, economic development, education, science and technology, health care management and policy. <http://www.evaluation.org.uk/resources/online-resources.aspx>
- The **World Bank hosted Network of Networks on Impact Evaluation (NONIE)** comprises the OECD-DAC Evaluation Network, the UN Evaluation Group (UNEG), the Evaluation Cooperation Group (ECG) and the International Organisation for Cooperation in Evaluation (IOCE). NONIE promotes quality impact evaluation based on common understanding of, and approaches to, conducting an impact evaluation. NONIE builds international collaboration on impact evaluation and provides members with opportunities for learning, collaboration, guidance and support. Comprised mostly of evaluators from bilateral and multilateral agencies, membership also includes developing country participants. <http://www.worldbank.org/ieg/nonie/papers.html>

Selected publications on monitoring and evaluation

- Chevalier, Jacques M. and Daniel J. Buckles, 2008. **A Guide to Collaborative Inquiry and Social Engagement**. Sage, India. (This book centres on Social Analysis Systems to promote social change.)
- Church, M., Bitel, M., Armstrong, K., Fernando, P., Gould, H., Joss, S., Marwaha_Diedrich, M., 2003. **Methods for the evaluation and monitoring of networks**. UCL, London.
- DFID guidance on evaluation and review: <http://www.dfid.gov.uk/aboutdfid/performance/files/guidance-evaluation.pdf>
- Earl, Sarah, Fred Carden, Terry Smutylo and forward by Michael Quinn Patton. **Outcome Mapping: The challenges of assessing development impact**. IDRC. http://www.idrc.ca/uploads/user-S/10945665201om_pamphlet_final.ppt
- Garbarino, Sabine and Jeremy Holland, 2009. **Quantitative and Qualitative Methods in Impact Evaluation and Measuring Results**. Governance and Social Development Resource Centre (GSDRC), UK. (www.gsdrc.org)

- Hovland, I., 2007. **Making a difference: M&E of policy research**. ODI Working Paper 281, July.
- Jackson, Edward T and Yusuf Kassam (eds), 1998. Knowledge Shared. Participatory Evaluation in Development Cooperation. IDRC/Kumarian Press, Canada.
- Knowlton, Lisa Wyatt and Cynthia Phillips, 2008. **The Logic Model Guidebook: Better Strategies for Great Results**. Sage.
- OECD DAC Evaluation Network, glossary of evaluation terms <http://www.oecd.org/dataoecd/29/21/2754804.pdf>
- OECD-DAC, 1991. DAC Principles for Evaluation of Development Assistance. OECD, Paris.
- **PARC Evaluation Series No 1: The Logical Framework**, Julia Flores, www.parcinfo.org
- Siyanda. Monitoring and Evaluation Tools, Issue No. 23, August 2004. http://www.siyanda.org/archive/august04_siyanda.htm (Siyanda is an online database of gender and development.)
- Stewart, I, Donaldson, Christie, C. A., Melvin, M. M. (eds.), 2008. What Counts as Credible Evidence in Applied Research and Evaluation Practice? SAGE, Inc.
- Tran Ba Huy, R., K. Hardee, J. Win Brown, 2007. **Monitoring and evaluation systems strengthening tool: A tool for assessing strengths and weaknesses of M&E systems**. Measure Evaluation.
- White, Howard. 2009. Some Reflections on Current Debates in Impact Evaluation, International Initiative for Impact Evaluation (3IE), Delhi.
- Young, John (no date), **Impact of research on policy and practice**. ODI, London.

Department for International Development Leading the British government's fight against world poverty.

One in six people in the world today, over 1 billion people, live in poverty on less than one dollar a day. In an increasingly interdependent world, many problems – like conflict, crime, pollution and diseases such as HIV and AIDS – are caused or made worse by poverty. DFID supports long-term programmes to help tackle the underlying causes of poverty. DFID also responds to emergencies, both natural and man-made.

DFID's work forms part of a global promise to:

- halve the number of people living in extreme poverty and hunger
- ensure that all children receive primary education
- promote sexual equality and give women a stronger voice
- reduce child death rates
- improve the health of mothers
- combat HIV and AIDS, malaria and other diseases
- make sure the environment is protected
- build a global partnership for those working in development.

Together, these form the United Nations' eight 'Millennium Development Goals', with a 2015 deadline. Each of these Goals has its own, measurable, targets. DFID works in partnership with governments, civil society, the private sector and others. It also works with multilateral institutions, including the World Bank, United Nations agencies and the European Commission. DFID works directly in over 150 countries worldwide, with a budget of £5.3 billion in 2007/08.

Details of more than 5,000 DFID-funded research programmes and their results, can be found on the research portal <http://www.research4development.info>

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